Deliverables Management

Introduction

Deliverables can either be sent through the mail or walked in by a messenger to the project. All deliverables will be taken to the Deliverable Monitor. An in-basket has been designated for deliverables. If a deliverable is walked in, the vendor or messenger can take it directly to the Deliverable Monitor or give it to the Project Receptionist. Vendors have been requested to provide two copies of any deliverable, along with an electronic copy.

If the Deliverable Monitor is not available, the vendor/messenger must take the deliverable to one of the Admin. Support staff who will date/time stamp the deliverable and provide a receipt, if requested.

If a deliverable is received with an invoice attached, the invoice is detached from the deliverable and the invoice processed according to project procedures. The deliverable is to be given to the Deliverable Monitor.

See Appendix A for a flowchart of the Deliverables Management process.

Purpose Of The Deliverables Management Process:

- To facilitate timely review of a deliverable (within ten working days of the receipt date).
- To ensure a deliverable is being tracked and all events are being recorded in the Deliverables Tracking System.
- To ensure that a copy of deliverable and all backup material are filed in the project's Central Library.

Definition Of A Deliverable

A deliverable is a product or service provided by a vendor based on a contractual agreement. Payment for that product or service is based on the receipt and/or approval of the deliverable.

Roles and Responsibilities

Admin. Support (AS)– Provides routing and document tracking support.

Deliverable Monitor (DM) – Receives and prepares the deliverable for review (within 8 working hours of receipt), updates the Deliverables Tracking System and the Document Tracking System, monitors the progress of the deliverable, ensures that the deliverable has been processed and that the project's Central Library contains a copy of the deliverable(s). The DM will have a designated backup.

Functional Manager (FM)– Ensures the deliverable is reviewed and approved or disapproved, provides feedback to the vendor, monitors and updates the Deliverables Tracking System, and ensures that the vendor's electronic file contains the proper versions of the deliverable. The FM can either be a contract person or state person.

Reviewer – Reviews the deliverable when requested by the FM. Provides written comments to the FM.

State Administrative Manager (SM) – Must be a state manager (not a contract person). Provides final state approval of all deliverables. The SM can also be the FM and/or the reviewer.

Vendor – A company or person contracted to provide a product(s) and/or service(s). Ensures that the deliverable is timely, provides two hard copies and one electronic copy of the deliverable, and attaches the project's transmittal to the deliverable(s) package.

This document contains detailed steps for the following procedures:

1. Receive deliverable
2. Prepare and route deliverable
3. Functional Manager initial review
4. State approval of deliverable
5. Disapprove deliverable
6. Closeout deliverable

This document contains the following attachments:

Appendix A - Flowchart of the Deliverable Management Process
Appendix B – Sample Deliverable Transmittal Sheet

1. Receive deliverable

Step	Action	Responsible person(s)
1.	Date and time stamp the deliverable.	DM
2.	Check to ensure a transmittal is attached with all the required information completed. *See Appendix B for a Sample Deliverable Transmittal Sheet.* **If information is complete**, go to Step 3. **If transmittal or information is missing**, create a transmittal or fill in the information using the information available.	DM
3.	If the Functional Manager's (FM) name is not indicated on the transmittal, check the FM list to determine who is the FM for this deliverable.	DM
4.	Write the FM's name on the transmittal in the space provided.	DM
5.	• Log into the Document Tracking system and update the required fields. • Write the document reference number on the deliverable, diskette, and transmittal. • Create the event in the Deliverables Tracking System. **Note**: If a Statement Of Work (SOW) has not been created, create the SOW. If a deliverable has not been created, create the deliverable.	DM
6.	Go to procedure **#2 -*Prepare and route deliverable.***	DM

2. Prepare and route deliverable

Step	Action	Responsible person(s)
1.	If the vendor has provided an electronic copy (diskette) of the deliverable, check to see if there is already an electronic copy of the deliverable on file in the vendor's electronic folder. **If yes**, go to Step 2. **If no**, move a copy to the vendor folder. Go to Step 2.	DM
2.	Write the file path name on the diskette and on the transmittal sheet in the space provided.	DM
3.	Make a photocopy of the deliverable transmittal and memo/letter. Make a copy of the deliverable if the vendor did not provide a second copy. **Note:** Do not make a copy of very large deliverables (e.g. binders). The original large deliverable will be sent to the Project library and the Librarian will determine how to route it to the FM.	DM
4.	Create a folder and put the following into the folder: • Copy of the deliverable (unless deliverable is very large) • Copy of the deliverable letter/memo	DM
5.	Attach the <u>original</u> transmittal to the folder.	DM

Step	Action	Responsible person(s)
6.	Write on the transmittal the due date (10 working days from receipt of the deliverable) the review is to be completed.	DM
7.	Put a <u>copy</u> of the deliverable transmittal into the pending file. (Note: Pending file will be made electronic when PTS supports this function)	DM
8.	Send <u>the original deliverable, original letter/memo and the diskette</u> of the deliverable to the Project library for filing.	DM
9.	Route folder with the copy of the deliverable to the FM.	DM

3. Functional Manager initial review

Step	Action	Responsible person(s)
1.	Determine if this deliverable is a response/revision from the vendor in regards to a disapproved deliverable or is a new deliverable. **If response/revision**, go to Step 2. **If new**, go to Step 3.	FM
2.	Pull the matching deliverable from the **personal pending file.** Go to step 3.	FM
3.	Using contract requirements, review the deliverable and determine if it meets the requirements in the contract. • Contact the vendor regarding issues (phone, meeting, etc.). (Or, if you are not the one to contact the vendor, then ensure that whomever is responsible contacts the vendor). • Determine if the deliverable can be approved or disapproved. **If approve**, on the Deliverable Transmittal Sheet, in the Functional Manager section, check the "Yes" box and sign. Go to Step 4. **If disapprove**, go to Procedure **# 5** -*Disapprove deliverable*.	Reviewer and FM
4.	Determine if the new deliverable needs state approval. **If state approval is not needed**, go to Step 5. **If state approval is needed**, go to **Procedure #4 -** *State approval of deliverable.* **Note**: State approval is needed for changes in SOW, funding, policies or anything that might possibly require a state manager to approve.	FM
5.	If the deliverable (no state approval needed) requires additional reviews, write on the transmittal the names of all the staff that should review the deliverable and route to next person for review.	FM
6.	After all necessary review has been done, On the deliverable transmittal, in the Functional Manager section, check the "Yes" box and sign.	FM

Step	Action	Responsible person(s)
7.	• Create approval event and update the Deliverables Tracking System event log with the following information: ✓ rationale for approval ✓ document tracking number of approval letter/memo ✓ date of approval • Route the transmittal and any backup material, (E-mail, correspondence, notes) to the DM for closeout. **Note**: You do not need to send the reviewed deliverable back to the DM unless there are notes/comments on the deliverable that you would like kept for historical purposes.	

4. State approval of deliverable

Step	Action	Responsible Person(s)
1.	• Route to SM to sign-off of deliverable (if you are not a state manager).	FM
2.	• Review the deliverable. • On the deliverable transmittal, in the State Manager section, check the "Yes" box and sign. (If the SM does not agree with the decision to approve the deliverable, then the FM and SM need to discuss). • Route deliverable package back to FM/Reviewer.	SM
3.	• Create approval event and update the Deliverables Tracking System event log with the following information: ✓ rationale for approval ✓ document tracking number of approval letter/memo ✓ date of approval • Route the transmittal and any backup material, (E-mail, correspondence, notes) to the DM for closeout. **Note**: You do not need to send the reviewed deliverable back to the DM unless there are notes/comments on the deliverable that you would like kept for historical purposes.	FM

5. Disapprove deliverable

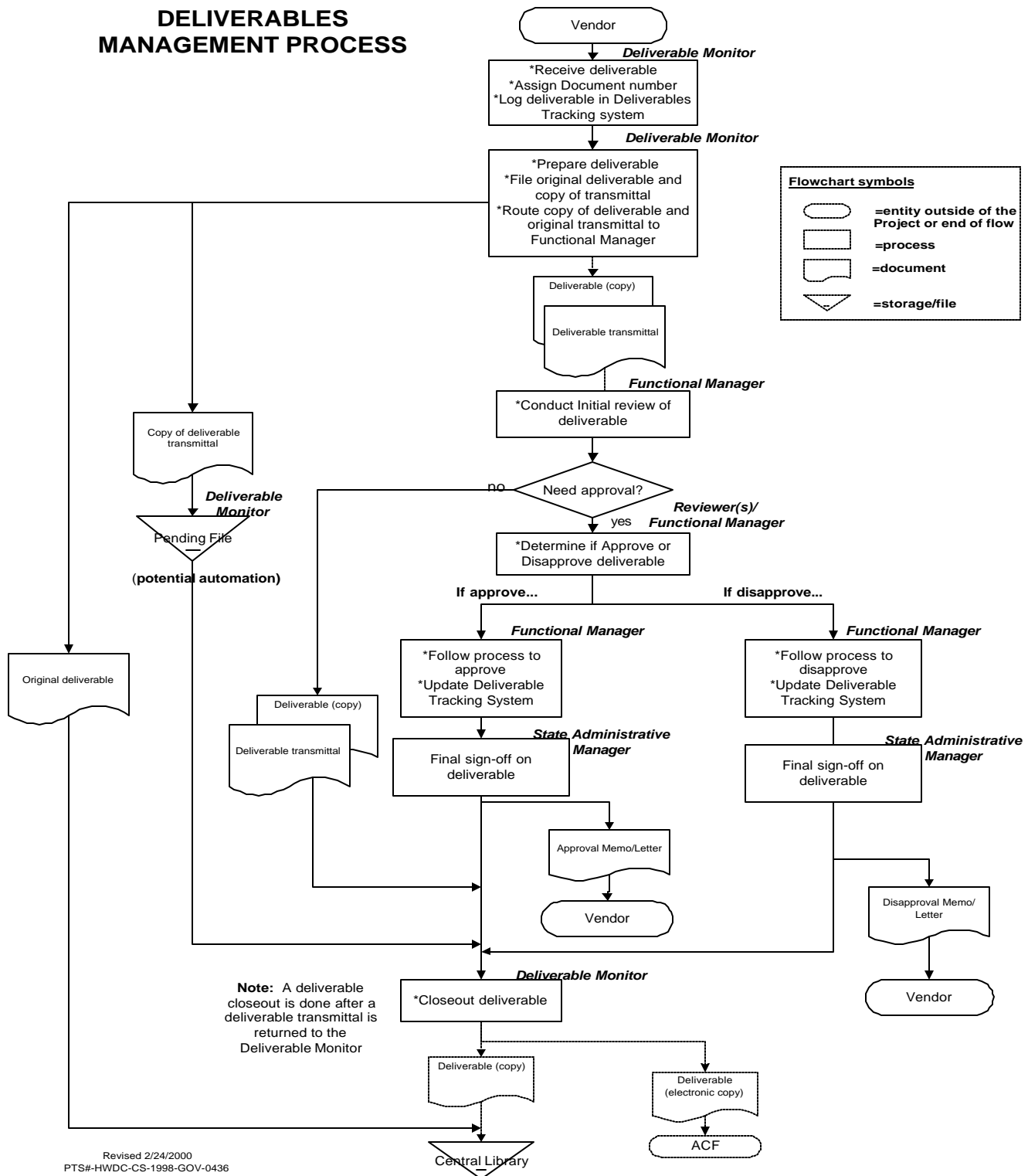| Step	Action	Responsible Person(s)
1.	• On the deliverable transmittal, in the Functional Manager section, check the "No" box and sign. • Determine if the new deliverable needs state approval. **If state approval is not needed**, go to Step 3. **If state approval is needed**, route to SM to sign-off of deliverable (if you are not a state manager).	FM

Step	Action	Responsible Person(s)
2.	• Review the deliverable. • On the deliverable transmittal, in the State Manager section, check the "No" box and sign. (If the SM does not agree with the decision to disapprove the deliverable, then the FM and SM need to discuss). • Route deliverable package back to FM/Reviewer.	SM
3.	In most cases, prepare a draft disapproval letter/memo. There should be a detailed explanation of the disapproval. The rationale must be in the body of the letter or attached to the letter. **Important**: Be sure to inform the vendor in your disapproval letter to reference the Project's PTS document number that is on the original deliverable for any future responses, revisions, correspondence related to this deliverable.	FM/ Reviewer
4.	Send letter/memo to Admin Support for final formatting and obtain a document tracking number from Admin Support for this letter.	FM
5.	• Prepare final letter and assign document tracking number. • Route letter to SM for signature.	AS
6.	Sign final letter and return to Admin. Support.	SM
7.	• Make two copies of signed letter. • Send original copy to vendor. • Route a copy of signed letter to FM. • File a copy of the signed letter in the project's Central file.	AS
8.	Once you have received a copy of the signed disapproval letter: • Create the disapproval event and update the Deliverables Tracking System event log with the following information: ✓ rationale for disapproval ✓ contacts w/vendor ✓ document tracking number of disapproval letter/memo ✓ pending status • On the transmittal, check the box that the deliverable was disapproved. • Write the document tracking number for the disapproval letter/memo on the transmittal. • Send the deliverable transmittal with the sign-off of disapproval to the DM.	FM
9.	• File the reviewed deliverable and any backup material (correspondence, E-mail, notes) in your **personal pending file** and wait for response from vendor. • When response/revised deliverable is received, start again at **Procedure #3** – *Functional Manager initial review*,	FM

6.   Closeout deliverable

Step	Action	Responsible Person(s)
1.	Pull matching copy of deliverable transmittal from the pending file and throw away copy.	DM
2.	Check Natomas Park Project Office Vendor List to determine if copy of deliverable should be sent to Administration for Children and Families (ACF). If yes, ✓ Send electronic copy to ACF (hardcopy if electronic copy not available). ✓ Print out copy of the e-mail note and attach to the back of the deliverable transmittal. ✓ Go to Step 3. If no, go to Step 3.	DM
3.	• Log into the Deliverables Tracking System and update the required fields if the FM did not update the system. • If deliverable sent to ACF, note date sent.	DM
4.	File the original deliverable transmittal with the sign-off of acceptance or disapproval, e-mail note, and any backup material to the project's Central Library.	DM/AS

Appendix A – Flowchart of Deliverable Management Process

DELIVERABLES MANAGEMENT PROCESS

Vendor

Deliverable Monitor
*Receive deliverable
*Assign Document number
*Log deliverable in Deliverables Tracking system

Deliverable Monitor
*Prepare deliverable
*File original deliverable and copy of transmittal
*Route copy of deliverable and original transmittal to Functional Manager

Flowchart symbols
= entity outside of the Project or end of flow
= process
= document
= storage/file

Deliverable (copy)
Deliverable transmittal

Functional Manager
*Conduct Initial review of deliverable

Copy of deliverable transmittal

Deliverable Monitor
Pending File
(potential automation)

Need approval?   no

yes   *Reviewer(s)/ Functional Manager*
*Determine if Approve or Disapprove deliverable

If approve...   **If disapprove...**

Functional Manager
*Follow process to approve
*Update Deliverable Tracking System

Functional Manager
*Follow process to disapprove
*Update Deliverable Tracking System

Original deliverable

Deliverable (copy)
Deliverable transmittal

State Administrative Manager
Final sign-off on deliverable

State Administrative Manager
Final sign-off on deliverable

Approval Memo/Letter

Vendor

Disapproval Memo/Letter

Note: A deliverable closeout is done after a deliverable transmittal is returned to the Deliverable Monitor

Deliverable Monitor
*Closeout deliverable

Vendor

Deliverable (copy)

Deliverable (electronic copy)

Central Library

ACF

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Appendix B – Sample Deliverable Transmittal Sheet

Deliverable Transmittal Sheet for the Natomas Park Project Office

VENDOR DELIVERABLE INFORMATION – to be completed by the Vendor			
Deliverable date	Type of deliverable Formal ☐ Ad hoc ☐	Project distribution (please list)	Purchase Order number
Vendor name		Author(s)	Statement of Work reference
Deliverable title		Brief description of deliverable	
Number of pages	Deliverable status Draft ☐ draft #___ Final ☐	Electronic copy: Diskette attached ☐ On CCSA network (list path) ☐	

DELIVERABLE MONITOR					
Date received	Name	Approval required? Yes ☐ No ☐	PTS SOW number		PTS updated? Yes ☐ No ☐
PTS tracking number			Name of Functional Manager (FM)		Date to FM
Comments					

FUNCTIONAL MANAGER'S APPROVAL			
Deliverable met contractual requirements?	Yes ☐ No ☐	Approved by	Date
Comments			
If deliverable is not acceptable – what is the next step?			PTS updated? Yes ☐ No ☐

FISCAL REVIEW (if applicable)				
Fiscal Analyst's Name	Date to Fiscal	Comments		
Approved by			Date	PTS updated? Yes ☐ No ☐

STATE ADMINISTRATIVE MANAGER'S APPROVAL				
State Admin. Manager's (SM) name	Date to SM	Comments		
Approved by			Date	PTS updated? Yes ☐ No ☐

DELIVERABLE MONITOR			
Date closed	Initials	Comments	PTS updated? Yes ☐ No ☐